

C4. CHAPTER 4

DOD INTERNAL INFORMATION REQUIREMENTS

C4.1. PURPOSE

The purpose of this chapter is to provide the necessary information for OSD Components to develop, review, revise, obtain approval and cancel their DoD internal information requirements. The specific procedures for DoD Components other than OSD are contained in their own supplemental prescribing regulations and instructions.

C4.2. SCOPE

This chapter documents the procedures for reviewing and licensing DoD internal information requirements imposed by OSD on the DoD Components under the authority of DoD Directive 8910.1 (reference (b)). It also covers the procedures for reviewing and licensing DoD internal information requirements imposed by the DoD Components on their subordinate commands to the extent that:

C4.2.1. Exemptions are specified in C4.4, below;

C4.2.2. Their internal implementing instructions and regulations are cross-referenced in the Manual; and

C4.2.3. Their internal indexes and/or listings of internal information requirements are also referenced.

C4.3. DEFINITIONS

C4.3.1. DoD Component Internal Information Requirements. For the purposes of this Manual, DoD internal information requirements are those information requirements that are internal to a particular DoD Component and licensed by that Component. Examples of these would be OSD internal, Army internal, Air Force internal, Navy internal, DLA internal, etc., and are referred to collectively as "DoD Internal Information Requirements."

C4.3.2. DoD Internal Information Requirement. The functional area expression of need for data, information, or reports to carry out specified and authorized functions or management purposes, and that call for the establishment or maintenance of data, information, reporting or recordkeeping systems whether manual or automated within the Department of Defense.

C4.3.3. General Purpose Statistics. Statistics collected primarily for public and general Government use, without primary reference to policy or program operations of the agency collecting the information. Agencies should conduct statistical surveys that are designed to produce results that can be generalized to the universe of the study.

C4.3.4. Internal Report. A report is data or information that is systematically collected and formatted by one or more organizational components and transmitted to another organizational component to meet an authorized and formally specified management information requirement. A report is frequently one output of a management information system.

C4.3.5. Internal Reporting. The process by which data or information for a report is collected, organized, transmitted, and retained within an organization.

C4.3.6. Management Information. Management information is data or information needed for use in determining policy; planning, controlling, and evaluating operations and performance; making administrative determinations; or preparing other reports. The data or information may be in narrative, statistical, graphic or other form and may be displayed on paper documents, magnetic tapes, terminal responses, or in other forms.

C4.3.7. Operating Document. A collection of information used to facilitate, accomplish, or provide a description or record of a transaction, function, or event. The information in an operating document may provide data (or input) for a report, but that is not its primary purpose. Examples are application forms, purchase orders, bills of lading, personnel actions, payrolls and time sheets, inspection or audit reports, and reports that involve direct command and control of military forces or cryptologic activities related to national security.

C4.3.8. Report Control Symbol (RCS). A standard Agency designation of a report consisting of letters and/or numbers. It indicates that the report has been reviewed and approved by a reports control office. OSD internal information requirements are symbolized with an RCS assigned by WHS/DIOR. DoD Components, other than OSD, symbolize their own internal information requirements.

C4.3.9. Reports Management Function. This function includes the reports, forms, surveys, magnetic tapes, disks, and other media of internal agency systems or procedures as well as the reporting systems themselves. The reports management function is primarily concerned with public, interagency, DoD internal, and Congressional information requirements.

C4.4. EXEMPTIONS

The following types of DoD internal information requirements are exempt from the review and approval procedures of this Manual (unless specifically excluded from the overall exemption):

C4.4.1. Substantive intelligence reporting;

C4.4.2. Operating documents and information or documentation processed and/or transmitted within an operational system. Examples of operating documents include requisitions, material release orders, supply status notices, back order release notices, etc. However, summary and statistical reporting and other evaluation outputs of reports transmitted to higher levels, such as an "Aged Requisition Report," are not exempt.

C4.4.3. Report of findings, recommendations, or actions prepared by an official committee, board, focus group, study group, or task force;

C4.4.4. Comments or concurrence that are a part of the routine clearance of proposed actions or publications; recommendations or evaluations as to existing or proposed plans, policies, procedures, organizations, missions, publications, agenda, curricula or courses of action;

C4.4.5. Public information releases as covered by DoD Directive 5230.9 (reference a));

C4.4.6. Accounting system source documents and output reports justified during the accounting system concept and detail design phases of development as prescribed in DoD 7000.14-R (reference (w)). Therefore, the documents and reports shall become an integral part of the accounting system and need not be individually justified or assigned DoD Internal Report Control Symbols;

C4.4.7. Reports of audit, internal review, investigation of charges, a complaint, a claim or a violation of law or regulation. Reports of internal reviews when the review is imposed by a higher-level command are not exempt.

C4.4.8. Counterintelligence, personnel security, and other investigative surveys and reports as covered by:

C4.4.8.1 DoD Directive 5200.26, "Defense Investigative Program" (reference (x)); and

C4.4.8.2. DoD Directive 5200.27, "Acquisition of Information Concerning Persons and Organizations Not Affiliated with the Department of Defense" (reference (y));

C4.4.9. Reports of individuals such as savings bond participation, conflict of interest statements, financial disclosure statements, nominations or recommendations for awards, medical and dental documents, and the like;

C4.4.10. Facts or opinions, obtained initially or in follow-up requests, from individuals (including individuals in control groups) under treatment or clinical examination in connection with research on, or prophylaxis to prevent, a clinical disorder; direct treatment of that disorder; or the interpretation of biological analyses of body fluids, tissues, or other specimens; or the identification or classification of such specimens. This includes medical records established as a result of this type of action; and

C4.4.11. Routine requests for cost estimates related to a specific information requirement.

Note: When one of the foregoing exemptions is used in an implementing directive, instruction, or publication, the appropriate chapter and paragraph of this Manual should be cited as an authority for the exemption. For example, the appropriate entry in a DoD Instruction would read as follows:

Z. INFORMATION REQUIREMENTS

The information requirement contained in this Instruction is exempt from licensing in accordance with Chapter 4, paragraph C4.4, of DoD 8910.1-M (reference ()).

C4.5. DoD COMPONENT PROCEDURES

C4.5.1. Licensing Internal Information Requirements. DoD Components, other than OSD, have their own internal procedures for the management and control of internal information requirements. They are, with the exception of the intelligence agencies, as follows:

<u>DoD Component</u>	<u>Publication</u>	<u>Title</u>
Army	AR 335-15	Management Information Control System

Air Force	AFI 33-324	Management and Control of Information Reports Requirements
DARPA	No Reports	No Reports
DISA	DISAI 630-225-2	Information Services - Information Requirements Management
DCAA	DCAAR 8910.1	Management and Control of Information Requirements and Reports Management
DSS	DDS 08-6-R	Reports Management Program
DLA	DLAD 8910.1	Management and Control of DLA Information Requirements
DSAA	DoD 5105.38-M	DSAA Security Assistance Management Manual
DSWA	DSWA Inst 5000.19B	Policies for the Management and Control of DSWA Information Requirements
JCS	AI 3000/0.06I	Management and Control of Joint Staff Information
Navy	SECNAV 5214.2B	Department of the Navy Information Requirements Management Program
NIMA	NIMA INST 5000.19A	Policies for the Management and Control of NIMA Information Requirements (Reports Control)

C4.5.2. Indexes of Internal Information Requirements. DoD Components, other than OSD, generally have their own indexes or listings of their approved internal information requirements. They are, with the exception of the intelligence agencies, as follows:

<u>DoD Component</u>	<u>Publication</u>	<u>Title</u>
Army	DA PAM 25-69	List of Approved Recurring Management Information Requirements

Air Force	AFCAT 37-140	Index of Headquarters USAF Controlled Reports
DARPA	N/A	N/A
DISA	DISAN	Register of Approved Recurring Information Requirements
DCAA	DCAAI 7750.2	Index of Approved Information and Reporting Requirements
DSS	DSS 08-6-R	Reports Management Program
DLA	N/A	N/A
DSAA	DoD 5105.38-M	DSAA Security Assistance Management Manual
DSWA	COMP-1	Register of Approved Recurring Reports
JCS	AI 3000/0.06I	Enclosures to the Administrative Instruction
Navy	N/A	N/A
NIMA	NIMAL 5000.19	List of NIMA Recurring Reports

C4.6. OSD PROCEDURES FOR LICENSING DoD INTERNAL INFORMATION REQUIREMENTS

C4.6.1. General. If the office requesting the information is a DoD or OSD Component, Defense Agency, or a DoD Field Activity and they are imposing an information requirement on one or more DoD Components other than their own Component, then the requiring office, unless exempt, shall obtain a Report Control Symbol (RCS) from WHS/DIOR. Figure C4.F1. shows the overall flow of the approval process and the organizations responsible for the various steps in the process.

C4.6.1.1. This involves the preparation of an SD Form 455, "Request for Approval of Information Collection," and a cost estimate using Optional Form (OF) 101, "Summary Worksheet for Estimating Reporting Costs." Figure C4.F2. is an example of a properly completed SD Form 455. Chapter 7 of this Manual provides guidance and examples for preparing the OF 101. The completed SD Form 455 and OF 101 are then coordinated with the responding DoD Components, processed through the IMCO, and submitted with the prescribing issuance to WHS/DIOR for approval.

C4.6.1.2. Additional documentation required includes a justification statement, a copy of the correspondence or legislation imposing the information requirement, the survey instrument review memorandum obtained from OUSD(P&R)/Defense Manpower Data Center (DMDC) and the approved survey instrument, when applicable.

C4.6.1.3. If problems are expected with documenting the proposed information requirement (e.g., high cost, Privacy Act, complex requirement, survey or form, etc.) the requiring office should contact the OSD Component IMCO before initiating the licensing process. The IMCO may recommend that the office conduct initial discussions with WHS/DIOR to facilitate the approval process.

C4.6.2. Coverage. The procedures in this subsection apply only to the OSD Components.

C4.6.2.1. Special Requirements. On an individual case-by-case basis, special one-time, high priority, or time-urgent requirements may be approved and symbolized without being subjected to an in-depth review and analysis, provided a statement of urgency is included with the SD Form 455 and signed at an appropriate level commensurate with the estimated cost of providing the information. An expiration date of short duration will be assigned until the required additional documentation is completed and submitted to WHS/DIOR.

C4.6.2.2. Prepare OF 101, "Summary Worksheet for Estimating Reporting Costs." A cost estimate, prepared in accordance with the guidance provided in Chapter 7 of this Manual, is required for every new or substantially changed information requirement.

C4.6.2.2.1. Reference (i) requires that cost estimates for Agency internal information requirements be done the same way as reporting cost estimates for interagency information requirements.

C4.6.2.2.2. Revised cost estimates, excluding all initial one-time costs, are required for the first extension or reinstatement following initial licensing.

C4.6.2.2.3. New cost estimates shall also be prepared when the cost and/or scope of collecting the information changes substantially. Examples of substantial changes are provided at paragraph C4.7.1., below. Cost estimates may be prepared on plain bond paper in lieu of the OF 101 or may be submitted in an existing format when the cost data can be

provided as required in block 5., "Estimated Cost of the Requirement" of SD Form 455.

C4.6.2.3. Prepare SD Form 455, "Request for Approval of Information Collection." The instructions for preparing an SD Form 455 are provided on the back of the form (see Figure C4.F3.) and are as follows:

Item 1. From (DoD organization name, directorate, and mailing address). Self-explanatory.

Item 2. Date of Request. Self-explanatory.

Item 3. Information Requirement Data.

3a. Provide the title of the report, information system, recordkeeping requirement, data base, etc., as it appears in the prescribing issuance or memorandum. With regard to surveys, avoid using the year in the title since surveys generally take more than one year to complete unless the survey is specific to that year only.

3b. Mark the appropriate box to indicate whether the request is for a new RCS or for a revision to an existing RCS.

3c. When the request is to revise an existing RCS, indicate the current RCS.

3d. Provide the reporting frequency of the information requirement using the following frequency codes:

A	- Annually
AR	- As Required
BI	- Biennially
BM	- Bimonthly
BW	- Biweekly
D	- Daily
M	- Monthly
OT	- One Time
Q	- Quarterly
QD	- Quadrennially
QI	- Quintennially
SA	- Semiannually
TRA	- Thrice Yearly
TRI	- Triennially
W	- Weekly

3e. For new RCSs enter the date the project officer is expected to implement the reporting requirement. Leave blank for extension or reinstatement of existing RCSs.

3f. Cite existing related RCSs.

3g. Provide the form number(s) to be used when completing this requirement, if applicable. The form(s) should also be reviewed at this time for currency.

3h. If the information requested requires a Privacy Act Statement, provide the System of Records Number (Check with WHS/C&D/Directives and Records Division).

3i. If the instrument of collection is a survey enter "Y" and attach a copy of the questionnaire. If this is an attitude/opinion survey, indicate DMDC coordination in block 7a, attach a copy of the review memorandum received from DMDC and the questionnaire. Otherwise, enter "N."

Item 4. Applicable Documents.

4a(1). If the information requirement originates within the Department of Defense, cite the existing or proposed DoD Directive or Instruction prescribing the information requirement.

4b(1). If the information requirement is required by law, cite the law or statute (i.e. Section 9999 of Public Law 104-13, Title 10 USC 2678, 103 Stat. 9999, 41 CFR Part 101-11).

4c(1). If the information requirement originates in another Federal Agency, provide the Agency and prescribing Regulation, Directive (i.e., Treasury Department Regulation xxx).

4d(1). If the information requirement originates in a non-DoD source (i.e. such as Congressional requests not incorporated in Federal statutes, requests from State Governments, etc.) cite the document.

4a(2) - 4e(2). List all existing DoD Directives, Instructions, Manuals, memoranda, forms, etc., or non-DoD publications to be superseded that contain references to the information requirement.

Item 5. Estimated Cost of the Information Requirement (see Chapter 7 of this Manual). If the estimated cost exceeds \$1 Million the SD Form 455 shall be signed at the

Deputy Assistant Secretary level requiring the information. Unrealistic, uneven or unsubstantiated respondent cost estimates may cause the submission to be returned without action.

5a. Enter applicable DoD Component (OSD, Army, Navy, Air Force, DMDC, etc.).

5b. Provide the costs to set-up the information collection cycle (include cost of personnel, ADP machine time, if applicable, supplies, etc.) from Block 5(f) of the Optional Form (OF) 101.

5c - 5e. Obtain the cost of each report, to include personnel costs (hours worked times average cost per work hour), ADP machine time, if applicable, supplies used, etc., from Block 9(f) of OF 101. Multiply the cost per report times the number of reports in a year to obtain the total cost per year.

5f. Total the initial one-time cost and the annual recurring cost and place the results in this block.

Item 6. Justification of Specific Need for this Information Requirement. Provide a concise but complete justification for the requirement. If additional space is needed, attach a continuation sheet. Include an explanation or discussion of:

a. Specific need for the information requirement and resulting benefits in light of projected costs;

b. Risks or penalties associated with not having the information available;

c. The results of examining other sources of information currently available and why such information cannot satisfy the requirement;

d. Less costly alternatives considered for satisfying the requirement and why each was not chosen;

e. How the information is to be used by the recipients; and

f. How the need and use warrant the frequency requested. If additional space is needed, attach a continuation sheet.

Item 7. Coordination. Coordination is not required if this information collection is contained in an approved DoD issuance. Otherwise, provide the name, organization and

telephone number of each responding DoD Component concurring with the information requirement.

Note: Concurrence by all responding DoD Components is required before approval. Where concurrence cannot be obtained, the requiring office will request that the component concerned provide a statement of the reasons for the non-concurrence and attach it to the SD Form 455. OUSD(P&R)/DMDC coordination is required for attitude/opinion surveys only.

Item 8. Project Officer. Self-explanatory.

Item 9. Requesting Organization Approving Official. The SD Form 455 should be signed by the head or principal director of the requesting office. If the estimated cost exceeds \$1 Million the SD Form 455 shall be signed at the Deputy Assistant Secretary level requiring the information.

Item 10. Information Management Control Officer. The completed SD Form 455 will be reviewed and coordinated on by the originating component's IMCO. The IMCO is responsible for reviewing the request to ensure that the information requirement is valid, not a duplicate, properly coordinated and authorized. SD 455 packages not coordinated with the OSD Component IMCO will be returned.

Item 11. For use by WHS/DIOR. Self-explanatory.

C4.6.2.4. Coordination.

C4.6.2.4.1. Clear Through DoD Component Information Management Control Officer. The IMCO is considered to be the most knowledgeable person in an organization concerning the review and approval of information requirements and can save the project officer considerable time and effort. Coordination with the IMCO early in the documentation process is encouraged and recommended. Submit the original SD Form 455 package through the IMCO who will review it for completeness, duplication, proper coordination, and compliance with WHS/DIOR requirements agreed to during any initial discussions. In addition, the IMCO will ensure compliance with the following programs:

C4.6.2.4.1.1. Privacy Act (reference (o)) - If the information requirement requires the provision of personal information, coordinate the SD 455 package with WHS, Directorate for Correspondence and Directives, Directives and Records Division for a determination on compliance with DoD 5400.11-R (reference d));

C4.6.2.4.1.2. Postal - If the instrument of collection is a mailer, follow the procedures in DoD 4525.8-M (reference (v));

C4.6.2.4.1.3. Data Administration - If the data being collected are used to support DoD operations and decision-making or in an AIS that requires horizontal and/or vertical sharing of data, follow the procedures in DoD 8320.1-M (reference (f));

C4.6.2.4.1.4. Reports Management Program (Public Information Collections) - If this information is also collected from members of the public, follow the procedures in Chapter 3 of this Manual;

C4.6.2.4.1.5. Reports Management Program (Interagency Reporting Requirements) - If this information is also collected from other Federal Agencies, follow the procedures in Chapter 5 of this Manual;

C4.6.2.4.1.6. Forms Management Program - If the instrument of collection should be controlled as a form, follow the procedures in DoD 7750.7-M (reference (e));

C4.6.2.4.2. Respondents. A proposed information requirement must be coordinated with the responding DoD Component(s). This can be done through the formal coordination of the prescribing issuance or coordination of the formal correspondence imposing the information requirement. Cost estimates may be obtained from the respondents before, during, or after coordination. An RCS is not required to obtain cost estimates from the DoD Components.

C4.6.2.5. Submission to WHS/DIOR.

C4.6.2.5.1. Reports Management Criteria. The DoD Internal Reports Manager reviews all requests for approval of information collections and the supporting documentation. The specific items checked are:

C4.6.2.5.1.1. Original signed SD Form 455;

C4.6.2.5.1.2. Signature level is commensurate with the cost of collecting the information;

C4.6.2.5.1.3. SD Form 455 is complete;

C4.6.2.5.1.4. Justification is adequate;

C4.6.2.5.1.5. Costing is adequate;

C4.6.2.5.1.6. Coordination with respondents is appropriate;

C4.6.2.5.1.7. Coordination with applicable functional areas obtained (i.e., Defense Privacy Office, Component Data Administration, Forms Management, survey approval);

C4.6.2.5.1.8. Information requirement is not a duplicate;

C4.6.2.5.1.9. Consistent with mission/charter of submitting office;

C4.6.2.5.1.10. Information requested is in line with stated need;

C4.6.2.5.1.11. Request is reasonable; and

C4.6.2.5.1.12. Request is consistent with statutory and regulatory authority.

Note: If there is a problem with the documentation submitted, the DoD Internal Reports Manager will contact the OSD Component IMCO submitting the package and try to resolve the problem informally. If the problem cannot be resolved by informal means, the submission will be returned with a written explanation.

C4.6.2.5.2. Privacy Act (reference (o)). WHS/DIOR reviews the proposed information collection for compliance with the Department of Defense Privacy Program. A description of the criteria and rules can be found in DoD 5400.11-R (reference (d)).

C4.6.2.5.3. DoD Forms Management Program. When applicable, WHS/DIOR reviews the proposed information requirement to determine if the instrument of collection should be controlled as a form in accordance with DoD 7750.7-M (reference (e)).

C4.6.2.5.4. DoD Data Administration Program. DoD 8320.1-M (reference (f)) provides procedures for implementing the DoD Data Administration Program. It also contains procedures for identifying, standardizing, collecting, distributing, using, and disposing of DoD data.

C4.6.2.5.5. Survey Instrument Approval. All personnel attitude and opinion survey instruments, regardless of format, shall be submitted through the OUSD(P&R) to the Defense Manpower Data Center (DMDC) for review and approval in accordance with DoD Instruction 1100.13 (reference (k)). DMDC should be contacted early in the process to ensure that survey instruments

are designed, developed, and administered in such a way as to ensure optimum results.

C4.6.2.6. Approval/Disapproval. If the proposed information requirement is approved, WHS/DIOR will assign an RCS, notify the appropriate IMCO by electronic mail message or formal memorandum and enter the approved DoD internal information requirement into the inventory. If disapproved, WHS/DIOR will return the submission with an explanation of the reason(s) the request was disapproved.

C4.6.2.7. Appeal Provisions. If the requiring office is not satisfied with the reason(s) for disapproval of the proposed information requirement, the decision can be appealed through proper channels. If the denial cannot be resolved through proper channels and a legal interpretation is required, the Office of the General Counsel, WHS, shall render an opinion.

C4.7. OSD PROCEDURES TO REVISE DOD INTERNAL REQUIREMENTS

C4.7.1. Substantial Changes. If an information requirement has changed substantially, a new cost estimate (OF 101) must be prepared and submitted with a new SD Form 455. Substantial changes may involve, for example:

C4.7.1.1. Organizational reassignment of the program;

C4.7.1.2. Title of information requirement;

C4.7.1.3. Increase in cost greater than 10% for respondents to provide the requested information;

C4.7.1.4. Number of Respondents;

C4.7.1.5. Content of collection; and

C4.7.1.6. Other substantial changes.

Note: Substantial changes may require modification of the prescribing issuance. If this occurs, the modified prescribing issuance must be submitted with the revised SD Form 455.

C4.7.2. Minor Changes. If an SD Form 455 requires minor changes, they can be accepted by telephone or electronic mail by the DoD Internal Reports Manager or by correspondence to WHS/DIOR. All changes, whether substantial or minor, should be coordinated with the Component IMCO.

C4.8. OSD PROCEDURES TO CANCEL AN EXISTING DOD INTERNAL INFORMATION REQUIREMENT

The requiring office may cancel an information requirement over the telephone by identifying the RCS and the reason for the cancellation. Memoranda for the record or electronic mail messages are preferred but not necessary.

C4.8.1. IMCOs should cancel information requirements as soon as the requiring office determines that the RCS is no longer needed.

C4.8.2. IMCOs should cancel or reinstate expired information requirements within 90 days of expiration. Expired collections should be minimized.

C4.8.3. If an RCS has expired, the respondents are not required to supply the requested information. However, as a practical matter, respondents may provide the requested information but notify the Component IMCO.

C4.9. OSD INFORMATION REQUIREMENT REVIEWS

C4.9.1. User Responsibilities. It is the responsibility of the OSD Component requiring office to ensure that information requirements imposed on the DoD Components are valid and essential to the mission of the OSD Component. In addition, OSD Components are to ensure that:

C4.9.1.1. Information requirements are not duplicated;

C4.9.1.2. Reporting workload is minimized through the use of sampling or information technology resources;

C4.9.1.3. Information needs are clearly identified; and

C4.9.1.4. Automated system resources are cost-effectively applied.

C4.9.2. Scheduled Review Cycles.

C4.9.2.1. Expiration Dates.

C4.9.2.1.1. Recurring DoD internal information requirements will be assigned expiration dates no longer than three years from the date of approval by WHS/DIOR. These requirements will be reviewed on an individual basis when the expiration date is imminent. At that time, the RCS should be extended by the submission of a new SD Form 455 or canceled.

C4.9.2.1.2. One-time information requirements and surveys will be licensed for a period not to exceed one year, unless otherwise specified. One-time information requirements and surveys will be canceled upon expiration unless extended by the project officer through the OSD Component IMCO.

C4.9.2.2. Annual Reviews. OASD(C3I) establishes annual report reduction goals for each fiscal year. OSD Component IMCOs should review their information requirements and coordinate with affected project offices to take action to cancel unnecessary active and expired information requirements to meet the goal by the end of the fiscal year.

C4.9.2.3. Reviews of One-time Reports. WHS/DIOR will, from time-to-time, review the status of information requirements licensed with a frequency of one-time in order to control the number of expired one-time requirements that have been completed, but not canceled from the inventory. WHS/DIOR will notify the OSD Component IMCO by memorandum or electronic mail message documenting the expired RCS, report title, and the expiration date and request that the RCS be canceled in accordance with the procedures set forth in C4.8., of this Manual. WHS/DIOR will continue to notify the OSD Component IMCO, as necessary, to ensure that action is taken to either reinstate or cancel the expired RCS.

C4.9.2.4. Reviews of Surveys. Customer satisfaction and statistical analysis surveys are subject to the same reviews afforded one-time and recurring information requirements. OSD Component IMCOs, in coordination with the requiring project officer, should take the appropriate action necessary to extend or cancel these requirements either prior to the expiration date of the RCS or when the requirement has been completed.

C4.9.2.5. Reviews of DoD Issuances. When a recurring information requirement has been approved and symbolized an appropriate statement to that effect shall appear in the prescribing issuance or publication. For example, the appropriate section in an Instruction would read as follows:

Z. INFORMATION REQUIREMENTS

The information requirement contained in this Instruction has been assigned Report Control Symbol DD-XXX(X)9999, in accordance with DoD 8910.1-M (reference ()).

C4.10. DoD INTERNAL INFORMATION REQUIREMENT INVENTORY

C4.10.1. Overview. WHS/DIOR maintains an inventory of DoD internal information requirements that includes the report control symbol, report title, requiring organization, DoD internal authority, external authority, respondents, estimated cost and other related data. This inventory is used to publish DoD 8910.1-L (reference (p)), to screen proposed information requirements for duplication, to perform workload assessments, to support IRM reviews, and for general reports management activities.

C4.10.2. Making Changes to the Inventory. Minor changes may be required when errors appear in the inventory listing. The OSD Component IMCO may request that these minor changes be made by electronic mail message or telephone call to the DoD Internal Reports Manager or by Memorandum to WHS/DIOR. Substantial changes to an information requirement in the inventory are made through submission of an SD Form 455.

C4.10.3. Output Reports.

C4.10.3.1. Monthly Reports to the IMCO. Every month, WHS/DIOR sends a report to the IMCOs that provides the latest status of reports control at the Department of Defense level. It includes a list of DoD internal information requirements canceled since the last report and a list of expired DoD internal reports. OSD Component IMCOs shall review the monthly activity reports and take appropriate action, especially with regard to expired information requirements. If an information requirement is no longer required, it should be canceled.

C4.10.3.2. DoD 8910.1-L, "Listing of Approved Recurring Information Requirements" (reference (p)). This listing, required by DoD Directive 8910.1 (reference (b)), is published monthly on the Internet under DefenseLINK, Publications by WHS/DIOR. Its purpose is to identify DoD internal information requirements approved by OSD, interagency information requirements approved by GSA, and public information requirements approved by OMB.

C4.10.3.3. Special Request Reports. Special request reports are available to OSD Component IMCOs and Congressional liaison personnel whenever they are needed to focus on a particular aspect of their respective reports control programs. These reports are generally used to conduct internal reviews of reporting requirements, to reconcile OSD Component inventories with WHS/DIOR inventories, and to brief new personnel. Special requests may be made to WHS/DIOR by Memorandum or electronic mail

at any time. WHS/DIOR will generally respond within 10 business days, whenever possible.

C4.11. SURVEYS OF DOD PERSONNEL All attitude and opinion surveys of DoD personnel that are also DoD internal information requirements must be approved by OUSD(P&R) as required by DoD Instruction 1100.13 (reference(k)). Surveys of DoD personnel by non-governmental sources are neither encouraged nor discouraged. Surveys by non-governmental sources may be sponsored by the OSD Component responsible for that functional area (e.g., medical (Health Affairs), financial (Comptroller), personnel (Personnel and Readiness), etc., at the discretion of that office).

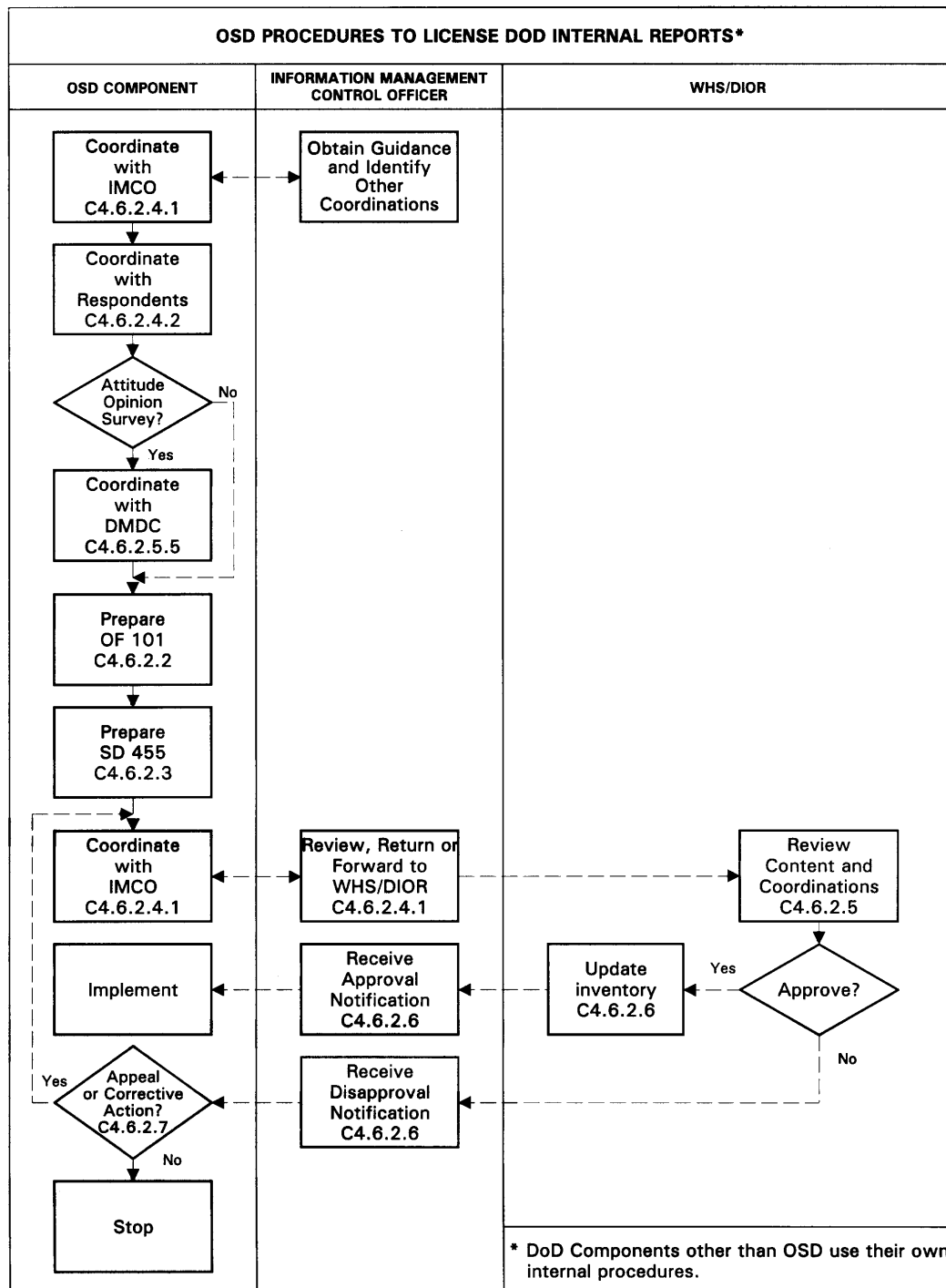


Figure C4.F1. OSD Procedures to License DoD Internal Information Requirements

REQUEST FOR APPROVAL OF INFORMATION COLLECTION <i>(See Instructions on back before completing form.)</i>													
1. FROM <i>(OSD organization name, directorate, and mailing address)</i> Washington Headquarters Services, Directorate for Information Operations and Reports 1215 Jefferson Davis Highway, Suite # 1204, Arlington, VA 22202-4302						2. DATE OF REQUEST <i>(YYYYMMDD)</i> 19980531							
3. INFORMATION REQUIREMENT DATA													
a. REPORT TITLE Licensing DoD Internal Information Requirements					b. (X one) <input checked="" type="checkbox"/> NEW <input type="checkbox"/> REVISED		c. EXISTING REPORT CONTROL SYMBOL <i>(RCS) (If applicable)</i> DD-						
d. FREQUENCY AR	e. INITIAL DUE DATE <i>(YYYYMMDD)</i> 19980601	f. RELATED REQUIREMENTS <i>(RCS's)</i>	g. FORM NO.(S) <i>(If applicable)</i> SD455		h. SYSTEM RECORDS N/A	i. SURVEY <i>(Y/N)</i> N							
4. APPLICABLE DOCUMENTS <i>(List number(s) next to type)</i>				5. ESTIMATED COST OF REQUIREMENT									
(1) PRESCRIBING		(2) REPLACED		RESPONDENT NAME	INITIAL ONE-TIME COST	ANNUAL RECURRING COST			TOTAL ESTIMATED COST				
a. DOD ISSUANCE	DoDD 8910.1		b. STATUTORY	Title 41 CFR Part 101-11.103		FIRMR 201-9		a.	b.	c.	d.	e.	f.
c. INTERAGENCY			d. OTHER <i>(e.g. Memo)</i>										
e. FORMS													
6. JUSTIFICATION OF SPECIFIC NEED FOR THIS INFORMATION REQUIREMENT <p>If the office requesting the information is a DoD or OSD Component, Defense Agency, or a DoD Field Activity and they are imposing an information requirement on one or more DoD Components other than their own Component, then the requiring office, unless exempt, shall obtain a Report Control Symbol (RCS) from WHS/DIOR. This involves the preparation of an SD Form 455, "Request for Approval of Information Collection," and a cost estimate using Optional Form (OF) 101, "Summary Worksheet for Estimating Reporting Costs." The completed SD Form 455 and OF 101 are then coordinated with the responding DoD Components, processed through the OSD Information Management Control Officer (IMCO), and submitted to WHS/DIOR for approval. Additional documentation required may include a justification statement, a copy of the correspondence or legislation imposing the information requirement, survey instrument review memorandum obtained from OUSD(P&R)/DMDC and the approved survey instrument, when applicable. If problems are expected with documenting the proposed information requirement (e.g. high cost, Privacy Act, complex requirement, survey or form, etc.) the requiring office should contact the OSD IMCO before initiating the licensing process. The IMCO may recommend that the office conduct initial discussions with WHS/DIOR to facilitate the approval process. If the proposed information collection is approved, WHS/DIOR will assign a Report Control Symbol, notify the appropriate OSD IMCO and enter the approved requirement into the inventory. If disapproved, WHS/DIOR will return the submission with an explanation of the reason(s) the request was disapproved.</p>													
7. COORDINATION <i>(Do not complete if this information collection is contained in an approved DoD issuance.)</i>						8. PROJECT OFFICER							
a. NAME						a. TYPED NAME I. M. Officer						c. TELEPHONE NO.	
b. ORGANIZATION						b. SIGNATURE						(123)456-7890	
c. TELEPHONE NO.						9. REQUESTING ORGANIZATION APPROVING OFFICIAL							
Coordination obtained during staffing of DoD 8910.1-M, "DoD Procedures for Management of Information Requirements" May 1998						a. TYPED NAME I. M. Official				b. SIGNATURE			
						10. INFORMATION MANAGEMENT CONTROL OFFICER (IMCO)							
						a. TYPED NAME I. M. IMCO				b. SIGNATURE			
11. FOR USE OF OSD/WHS/DIOR (INFORMATION CONTROL DIVISION)													
a. REPORT CONTROL SYMBOL (RCS) DD-				b. EXPIRATION DATE <i>(YYYYMMDD)</i>				c. SIGNATURE				d. DATE SIGNED <i>(YYYYMMDD)</i>	

SD FORM 455, MAY 1998 (EG)

PREVIOUS EDITION MAY BE USED UNTIL SUPPLY IS EXHAUSTED.

Designed using Perform Pro, WHS/DIOR

Figure C4.F2. SD Form 455, "Request for Approval of Information Collection" - Sample

INSTRUCTIONS FOR COMPLETION OF SD FORM 455, "REQUEST FOR APPROVAL OF INFORMATION COLLECTION"																
<p>General - DoD Directive 8910.1 (<i>See Note 1</i>) prescribes the policy and DoD 8910.1-M (<i>See Note 2</i>) prescribes the procedures which implement the policy for the management and control of DoD internal information requirements. OSD/WHS/DIOR (Information Control Division (ICD)) maintains an inventory and copy of all approved OSD information requirements. SD Form 455, "Request for Approval of Information Collection," is used to request approval of new or revised information requirements, other than public or interagency information requirements.</p> <p>Coordination Procedure - The originating OSD organization's project officer must coordinate this request with that organization's approving official and Information Management Control Officer (IMCO). The IMCO must review and coordinate on this request prior to submission to OSD/WHS/DIOR/ICD. When approved, it will be returned to the IMCO for distribution.</p> <p>Copies - Submit one original copy.</p> <p>Item 1 - Provide OSD organization originating the request, including the directorate or equivalent level.</p> <p>Item 3a - Provide exact title of report, information system, recordkeeping requirement, data base, etc., as it appears in prescribing issuance or memorandum.</p> <p>Item 3c - If this is a revision, provide the existing Report Control Symbol (RCS).</p> <table style="width: 100%; border: none;"> <tr> <td>A =Annually</td> <td>D =Daily</td> <td>QI =Quintennially</td> </tr> <tr> <td>AR =As Required</td> <td>M =Monthly</td> <td>SA =Semiannually</td> </tr> <tr> <td>BI =Biennially</td> <td>OT =One Time</td> <td>TRA =Thrice Yearly</td> </tr> <tr> <td>BM =Bimonthly</td> <td>QD =Quadrennially</td> <td>TRI =Triennially</td> </tr> <tr> <td>BW =Biweekly</td> <td>Q =Quarterly</td> <td>W =Weekly</td> </tr> </table> <p>Item 3e - Provide the initial report due date.</p> <p>Item 3f - Cite references of existing related Report Control Symbols.</p> <p>Item 3g - If forms are used in this reporting requirement, provide the form numbers.</p> <p>Item 3h - If the information requested has a Privacy Act Statement (PAS), provide the System of Records Number (<i>See Note 3</i>).</p> <p>Item 3i - Indicate whether this collection is a survey. If it is an attitude/opinion survey, obtain Defense Manpower Data Center (DMDC) coordination in Item 7a and attach the DMDC review memorandum to the SD455 and submit to WHS/DIOR/ICD.</p> <p>Item 4a(1) - For internal DoD requirements, cite the proposed or existing DoD directive, instruction, manual or memorandum.</p> <p>Item 4b(1) - If this requirement is prescribed by Federal statute, cite the statute - e.g., Section xx, PL xx-xxx, Section xx, Title XX, USC.</p> <p>Item 4c(1) - If this requirement originates in another Federal government agency, provide agency and prescribing regulation, directive, etc. - e.g., Treasury Department Regulation xxx.</p> <p>Item 4d(1) - Cite any other non-DoD source, such as Congressional requests not incorporated in Federal statutes, requests from State governments, etc.</p>	A =Annually	D =Daily	QI =Quintennially	AR =As Required	M =Monthly	SA =Semiannually	BI =Biennially	OT =One Time	TRA =Thrice Yearly	BM =Bimonthly	QD =Quadrennially	TRI =Triennially	BW =Biweekly	Q =Quarterly	W =Weekly	<p>Item 4a, b, c, d, e (2) - Cite all existing DoD directives, instructions, manuals, memoranda, forms, etc., or non-DoD requirements, to be superseded by this requirement.</p> <p>Item 5a - Army, Navy, Air Force, DLA, ALLDOD, ALLODA, etc.</p> <p>Item 5b - Provide set-up costs to include cost of personnel, ADP machine time, if applicable, supplies, etc.</p> <p>Item 5c, d, e - Provide cost of each report, to include personnel cost (number of work-hours X average cost per work-hour), ADP machine time, if applicable, supplies used, etc. Multiply cost per report times the number of reports in a year to arrive at total cost per year.</p> <p>Item 5f - Sum of initial one-time cost and annual recurring cost (total of 5b and e).</p> <p>Item 6 - Provide a concise but complete justification for the requirement. Include an explanation or discussion of: (a) specific need for requirement and resulting benefits in light of projected costs; (b) risks or penalties associated with not having the information; (c) the results of examining other sources of information currently available and why such information cannot satisfy the requirement; (d) less costly alternatives considered for satisfying the requirement and why each was not chosen; (e) how it is to be used by recipients; and (f) how the need and use warrant the frequency requested. Use a continuation sheet, if necessary.</p> <p>Item 7 - Do not complete this item when DoD-wide concurrence is obtained through a DoD issuance coordination process. However, a statement must be made that concurrence was obtained by this method. This block must be completed when any other coordination process is used, such as letter or memorandum. The originator of the information collection will provide the name, organization, and telephone number of each component or organization responsible for providing the information (<u>signature or initials are not required</u>). Where concurrence cannot be obtained, the originator will provide a statement of the reasons why concurrence was not obtained and attach it to this form. If a Privacy Act Statement is required, coordinate with your Privacy Program official (<i>See Note 3</i>).</p> <p>Item 8 - Provide typed name, phone number and signature of project officer.</p> <p>Item 9 - Provide typed name and signature of the requesting organization approving official.</p> <p>Item 10 - The Information Management Control Officer (IMCO) designated for the originating activity indicates coordination and documentation review by signing this block.</p> <p>Item 11 - This block is only for use of OSD/WHS/DIOR/ICD, who will assign an expiration date for each RCS not to exceed three years. All recurring internal information reporting requirements are reviewed at a minimum every three years to assess improvements, cancellations and extensions (<i>See Note 2</i>).</p>
A =Annually	D =Daily	QI =Quintennially														
AR =As Required	M =Monthly	SA =Semiannually														
BI =Biennially	OT =One Time	TRA =Thrice Yearly														
BM =Bimonthly	QD =Quadrennially	TRI =Triennially														
BW =Biweekly	Q =Quarterly	W =Weekly														
NOTES																
<ol style="list-style-type: none"> 1. DoDD 8910.1, Management and Control of Information Requirements 2. DoD 8910.1-M, DoD Procedures for Management of Information Requirements 3. DoD 5400.11-R, Department of Defense Privacy Program 																

SD FORM 455 (BACK), MAY 98 (EG)

Figure C4.F3. SD Form 455, "Request for Approval of Information Collection" - Instructions

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